

RECEIPT



ATTORNEY DOCKET NO. Q65050
PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Takehiro MATSUDA

Appln. No.: 09/885,541

Group Art Unit: 2651

Confirmation No.: 3988

Examiner: Not Yet Assigned

Filed: June 21, 2001

For: OPTICAL PICKUP APPARATUS

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

Sir:

We enclose a copy of the Official Filing Receipt for the above-identified application and request the following correction:

APPLICATION NUMBER [09/885,167] 09/885,541

Verification for the requested correction is indicated on a copy of the Request of Early Notification of Serial Number card filed June 21, 2001 submitted herewith.

Respectfully submitted,


Darryl Mexic
Registration No. 23,063

SUGHRUE, MION, ZINN,
MACPEAK & SEAS, PLLC
2100 Pennsylvania Avenue, N.W.
Washington, D.C. 20037-3213
Telephone: (202) 293-7060
Facsimile: (202) 293-7860
Date: October 12, 2001



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/885,167 | 06/21/2001 | 2651 | 710 | Q65050 | 16 | 11 | 1 |

09/885,541

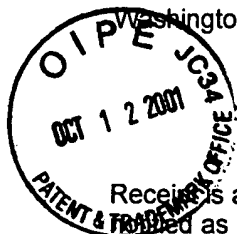
CONFIRMATION NO. 3988

FILING RECEIPT



SUGHRUE, MION, ZINN, MACPEAK & SEAS, PLLC
2100 Pennsylvania Avenue, N.W.
Washington, DC 20037-3202

Date Mailed: 08/14/2001



Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Takehiro Matsuda, Saitama, JAPAN;

Assignment For Published Patent Application

PIONEER CORPORATION;

Domestic Priority data as claimed by applicant

Foreign Applications

JAPAN P.2000-185796 06/21/2000

If Required, Foreign Filing License Granted 08/14/2001

Projected Publication Date: To Be Determined - pending completion of Corrected Papers

Non-Publication Request: No

Early Publication Request: No

Title

Optical pickup apparatus

Preliminary Class

369

Data entry by : LE, THUDUNG**Team : OIPE****Date: 08/14/2001**

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

REQUEST OF EARLY NOTIFICATION OF SERIAL NUMBER

Inventor(s): Takehiro MATSUDA

Title: OPTICAL PICKUP APPARATUS

Atty, Doc. #: Q65050 Client: NGB CORPORATION

Filing Date: June 21, 2001 # Pgs. Spec/Abst: 46/2 #Claims: 11

Proprietary Information Disclosure Statement

Dwg. Sheets: 16 Decl YES Prelim Amdt YES

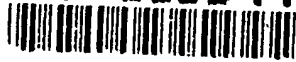
PTO FORM 1449 w/refs. PTO FORM 1595

IDS/Prior Art: YES Pr Doc: YES (1) Asgmt: YES Fee: \$710/\$40.00

☒ Check Attached ☐ Charge to Deposit # 19-4880 Atty/Sec: DM/plr

SERIAL NO.: 986 U.S. PTO
09/885541

CONF NO.:



06/21/01



ATTORNEY DOCKET NO. Q65050
PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of

Takehiro MATSUDA

Appln. No. 09/885,541

Group Art Unit: 2651

Confirmation No.: 3988

Examiner: Not Yet Assigned

Filed: June 21, 2001

For: OPTICAL PICKUP APPARATUS

**REQUEST FOR CORRECTED NOTICE OF RECORDATION OF
ASSIGNMENT DOCUMENT**

U.S. Patent and Trademark Office

Assignment Division

BOX ASSIGNMENT

North Tower Building, Suite 10C35

Washington, D.C. 20231

Sir:

We enclose copies of the NOTICE OF RECORDATION OF ASSIGNMENT

DOCUMENT and Assignment which were recorded in the Patent Office at Reel 011931, Frame

0209, and request correction as follows:

SERIAL NUMBER [09/885,167] 09/885,541

The need for correction was caused by the PTO and therefore no fee is necessary.

Respectfully submitted,

Darryl Mexic

Registration No. 23,063

SUGHRUE, MION, ZINN,
MACPEAK & SEAS, PLLC
2100 Pennsylvania Avenue, N.W.
Washington, D.C. 20037-3213
Telephone: (202) 293-7060
Facsimile: (202) 293-7860
Date: October 12, 2001



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SEPTEMBER 06, 2001

PTAS
SUGHRUE MION ZINN MACPEAK & SEAS, PLLC
DARRYL MEXIC
2100 PENN., AVE., N.W.
SUITE 800
WASHINGTON, DC 20037-3213



101765269A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/21/2001

REEL/FRAME: 011931/0209
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
MATSUDA, TAKEHIRO

DOC DATE: 06/11/2001

ASSIGNEE:
PIONEER CORPORATION
NO. 4-1, MEGURO 1-CHOME
MEGURO-KU, TOKYO, JAPAN

SERIAL NUMBER: ~~09885167~~ 09/885,541
PATENT NUMBER: FILING DATE: 06/21/2001
ISSUE DATE:

JEEVON JONES, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

07-02-2001

Q65050

Form PTO-1595
1-31-92U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

101765269

ET

To the Commissioner for Patents. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Takehiro MATSUDA

08/21/01

2. Name and address of receiving party(ies)?

PIONEER CORPORATION

No. 4-1, Meguro 1-chome, Meguro-ku, Tokyo, Japan

Additional name(s) of conveying party(ies) attached?

☐ yes☒ no

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Names☐ Other

Additional name(s) & address(es) attached?

☐ yes☒ no

Execution Date: June 11, 2001

4. Application number(s) or patent number(s):

09885167

If this document is being filed together with a new application, the execution date of the application is: June 21, 2001

A. Patent Application No.(s)/Confirmation No.(s)
/Not Yet Assigned

B. Patent No.(s)

Additional numbers attached?

☐ Yes☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

SUGHRUE, MION, ZINN, MACPEAK & SEAS, PLLC
2100 Pennsylvania Avenue, N.W.
Suite 800
Washington, D.C. 20037-3213

6. Total number of applications and registration involved:

1

7. Total Fee (37 CFR 3.41): \$40.00

☒ Enclosed. Please charge any underpayment in connection with this Assignment to Deposit Account No. 19-4880.☐ Authorized to be charged to Deposit Account

8. Deposit Account No.

19-4880

DO NOT WRITE IN THIS SPACE

9. Statement and Signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Darryl Mexic

Reg. No. 23,063

June 21, 2001

Date

TOTAL NUMBER OF PAGES COMPRISING COVER SHEET, ATTACHMENTS AND DOCUMENT: 2

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner for Patents
Box Assignments
Washington, D.C. 20231

07/02/2001 LMUELLER 00000028 09885167

01 FC:581

40.00 OP

10888 U.S. PTO
09/885167
06/21/01

Assignment

Whereas, I/We, Takehiro MATSUDA
Saitama, Japan

of

hereinafter called assignor(s), have invented certain improvements in

OPTICAL PICKUP APPARATUS

and executed an application for Letters Patent of the United States of America therefor on
June 11, 2001 ; and

Whereas, PIONEER CORPORATION
of No. 4-1, Meguro 1-chome, Meguro-ku, Tokyo, Japan

(assignee), desires to acquire the entire right, title, and interest in the application and invention, and to
any United States patents to be obtained therefor;

Now therefore, for valuable consideration, receipt whereof is hereby acknowledged,

I/We, the above named assignor(s), hereby sell, assign and transfer to the above named assignee, its
successors and assigns, the entire right, title and interest in the application and the invention disclosed
therein for the United States of America, including the right to claim priority under 35 U.S.C. §119, and
I/we request the Commissioner of Patents to issue any Letters Patent granted upon the invention set forth
in the application to the assignee, its successors and assigns; and I/we will execute without further
consideration all papers deemed necessary by the assignee in connection with the United States application
when called upon to do so by the assignee.

I/We hereby authorize and request my attorneys SUGHRUE, MION, ZINN, MACPEAK & SEAS of
2100 Pennsylvania Avenue, N.W., Washington, D.C. 20037-3202 to insert here in parentheses (Application
number _____, filed _____) the filing date and application
number of said application when known.

Date: June 11, 2001 s/ Takehiro Matsuda

Date: s/ _____

Date: s/ _____

Date: s/ _____

Date: s/ _____

(Legalization not required for recording but is prima facie evidence of execution under 35 U.S.C. §261)



ATTORNEY DOCKET NO. Q65050
PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Takehiro MATSUDA

Appln. No.: 09/885,541

Group Art Unit: 2651

Confirmation No.: 3988

Examiner: Not Yet Assigned

Filed: June 21, 2001

For: OPTICAL PICKUP APPARATUS

RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS

Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the "Notice to File Corrected Application Papers-Filing Date Granted", mailed August 14, 2001, submitted herewith are fourteen (14) sheets of drawings in compliance with 37 C.F.R. § 1.84 and an Abstract not exceeding 150 words. Also, attached is a copy of the Notice to File Corrected Application Papers - Filing Date Granted.

Consideration of the attached is respectfully requested.

Respectfully submitted,

SUGHRUE, MION, ZINN,
MACPEAK & SEAS, PLLC
2100 Pennsylvania Avenue, N.W.
Washington, D.C. 20037-3213
Telephone: (202) 293-7060
Facsimile: (202) 293-7860

Darryl Mexic
Registration No. 23,063

Date: October 12, 2001

40304: 2937060



COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| | | | |
|--------------------|---------------------|-----------------------|------------------------|
| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
| 09/085,167 | 06/21/2001 | Takehiro Matsuda | O65050 |

CONFIRMATION NO. 3988

FORMALITIES LETTER



SHAPIRO, MIRON, ZINN, MACPEAK & SEAS, PLLC
 1100 Pennsylvania Avenue, N.W.
 Washington, DC 20037-3202

Date Mailed: 08/14/2001

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- **Substitute drawings in compliance with 37 CFR 1.84 because:**
 - **drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);**
- **An Abstract not to exceed 150 words in length, commencing on a separate sheet (37 CFR 1.72(b)).**

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE